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PATENT APPLICATION  
DOCKET NO. T8948.CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Mahato, Ram I.  
SERIAL NO.: 10/083,861  
FILED: February 25, 2002  
FOR:  
ART UNIT:  
EXAMINER:  
DOCKET NO.: T8948.CIP

CERTIFICATE OF DEPOSIT  
UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, under 37 C.F.R. § 1.8 on the date indicated below and is addressed to Assistant Commissioner for Patents, Arlington, VA 22202

Karen Jacobson  
April 26, 2002  
Date of Deposit

STATEMENT UNDER 37 C.F.R. §1.821(f)

Assistant Commissioner for Patents  
Box Sequence  
P. O. Box 2327  
Arlington, VA 22202

Sir:

Pursuant to 37 C.F.R. §1.821(f), applicants enclose a paper copy and a computer readable form of the sequence listing. Applicants further submit that the paper copy and the computer readable form of the sequence listing are identical and there is no new matter.

Applicants further respectfully request entry of this Sequence Listing into the application.

The Commissioner is hereby authorized to charge any additional fee or to credit any overpayment in connection with this Statement to Deposit Account No. 20-0100.

**DATED** this 26<sup>th</sup> day of April, 2002.

Respectfully submitted,



M. Wayne Western  
Attorney for Application  
Registration No. 22,788  
Customer No. 20,551

**THORPE, NORTH & WESTERN, L.L.P.**  
P.O. Box 1219  
Sandy, Utah 84091-1219  
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MWW/WC:kj

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Page 1 of 2

APR 15 2002


 Thorpe North & Western  
 UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/083,861	02/25/2002	Ram I. Mahato	T8948.C1P

M. Wayne Western  
 THORPE NORTH & WESTERN, L.L.P.  
 P.O. Box 1219  
 Sandy, UT 84091-1219



CONFIRMATION NO. 5816

FORMALITIES LETTER



\*OC000000007841485\*

Date Mailed: 04/10/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).


- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



0590 APP  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Ram I. Mahato, et al.  
SERIAL NO.: 10/083,861  
FILED: February 25, 2002  
FOR: NOVEL CATIONIC  
LIPOPOLYMER AS  
BIOCOMPATIBLE GENE  
DELIVERY AGENT  
ART UNIT: 1635  
EXAMINER:  
DOCKET NO.: T8948.CIP

CERTIFICATE OF DEPOSIT  
UNDER 37 C.F.R. 1.8

DATE OF DEPOSIT: 4/26/02  
I hereby certify that this paper or fee is  
being deposited with the United States  
Postal Service under 37 C.F.R. § 1.8 on  
the date indicated above and is addressed  
to: Box Missing Parts, Assistant  
Commissioner for Patents, Washington,  
DC 20231.

Karen Jacobson  
Dated 4-26-02

RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
PATENT APPLICATION Filing Date Granted

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application mailed April 10, 2002, please  
find enclosed herewith the following items for filing in the United States Patent and Trademark  
Office in connection with the above-identified patent application:

- X An Assignment from the inventors to Expression Genetics, Inc.
- X A copy of the Notice to File Missing Parts of Application Filing Date Granted;
- X Inventor Declaration, and Petition;
- X Power of Attorney

Assistant Commissioner for Patents

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- X Prior Art Statement, Form PTO-1449, and copies of cited prior art;
- X A check in the amount of \$105.00 to cover the surcharge fee pursuant to 37 C.F.R. § 1.16(e), and the recordation fee for the enclosed patent assignment.
- X A copy of the paper copy of a Sequence Listing, together with a CRF copy of the Sequence Listing, and a Statement/Amendment requesting entry of same into application (sent under separate cover to Box Sequence, P. O. Box 2327, Arlington, VA 22202).

The Commissioner is hereby authorized to charge any additional fees associated with this communication or to credit any overpayment to Deposit Account No. 20-0100.


Please address all future correspondence in connection with this case to the attention of the undersigned.

Dated this 26<sup>th</sup> day of April, 2002.

Respectfully submitted,



M. Wayne Western  
Attorney for Applicant  
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Enc.